



If you have any questions, please call our Customer Services Team on

**01382 573737**

Calls may be monitored for training or security purposes.



**Alliance Trust Savings**

# Stocks & Shares ISA

## Transfer In Request Form for Direct Customers

### Section A – Instructions to Alliance Trust Savings

Please complete both Sections A and B in block capitals and black ink and return to Alliance Trust Savings, PO Box 164, 8 West Marketgait, Dundee DD1 9YP.

This form should be used to transfer either a Cash ISA or another Stocks & Shares ISA into an existing Alliance Trust Savings Stocks & Shares ISA Account. If you do not already have a Stocks & Shares ISA Account with us, you will need to open one. You can do so online or you can contact our Customer Services Team at 01382 573737 to request an Application Pack by post. Please note dealing by post will incur a higher charge than online, full details can be found in our *Charges Guide*.

Before completing this form it is important that you read the *Key Facts*, *Charges Guide* and the *Terms and Conditions* document. These documents can be found on our website [alliancetrustsavings.co.uk](http://alliancetrustsavings.co.uk).

#### 1. Transfer details

If you are already an Alliance Trust Savings Stocks & Shares ISA customer, provide your Account Reference Number: \_\_\_\_\_

Please accept the transfer of the following ISA to be held in an Alliance Trust Savings Stocks & Shares ISA.

Name of the ISA manager of the ISA you are transferring to Alliance Trust Savings: \_\_\_\_\_

#### 2. Nationality

You are a national of any country for which you hold a passport (or could, if you applied for one). Failure to provide this information will mean your transaction will be rejected.

##### UK nationals

I confirm I am a national of the United Kingdom  My National Insurance Number is: \_\_\_\_\_

##### Dual and other nationals

Please tell us any other country or countries of which you are a national. If you have more than two nationalities we only need to know about the two you most frequently use (including your UK nationality where applicable). We also require your Personal Identifier. You can find this information on the *Personal Identifier Reference List*.

Country	Your Personal Identifier

#### 3. Investment instructions

If you have not decided which investments you would like to make, you may leave this section blank. We will place your cash on deposit when it is received from the other manager and until we receive instructions from you.

Please note that any instructions given in this section will be charged at our postal dealing rate (see your *Charges Guide*).

You will find information on available investments at [alliancetrustsavings.co.uk](http://alliancetrustsavings.co.uk) or you can call our Customer Services team on **01382 573737** to request a list of available investments.

Investment <sup>1</sup>		Amount or percentage of cash	Income options <sup>2</sup>	
Name (including class)	MEX/TIDM code		Name (including class)	MEX/TIDM code
<b>Total</b>		£	%	

I wish to have income paid to me from some or all of the above investments. Please send me the appropriate form to set this up if not already in place.

### 3. Investment instructions (continued)

#### Notes to accompany table

- Investment:** Enter the full name and class of each investment you wish to make. This is important as there may be different classes available.  
Please also quote the MEX/TIDM code which you can find in the *Investment Choice booklet*, which is available within the Forms and Documents section at [alliancetrustsavings.co.uk](http://alliancetrustsavings.co.uk).  
To allocate your cash to your Deposit Account or Online Dealing Account, enter 'deposit' or 'online'.
- Income options:** Any income received from each investment will automatically be used to purchase more of the same investment when your Minimum Purchase Level (see below) is reached, or you may, if you wish to:
  - Use it to purchase another investment – enter name and MEX/TIDM code
  - Direct it to your Deposit Account – enter 'deposit'
  - Direct it to your Online Dealing Account – enter 'online'
  - Have income paid to your bank Account – enter 'cash'.
- How we will place your order:** We will carry out your investment instructions once your Account is opened.  
We may buy your investments for you, along with other customer instructions, as part of the same deal. We will take all reasonable steps to ensure that the purchase is dealt on the best terms generally available in the market for transactions of a similar size and nature at the time of execution, as described in our *Order Execution Policy*. This may work to your advantage or disadvantage.

#### Minimum Purchase Levels

When cash in your Security Account reaches the Minimum Purchase Level, we will automatically purchase more of the same investments for you. The default level is £100 but if you wish to select a different amount please tick below. The level you select will apply to all investments in your ISA You can change the levels at any time by completing an *Stocks & Shares ISA Instruction Form*.

Minimum Purchase Levels:      £150       £300       £500

#### Purchasing funds

If you wish to invest in a fund (an OEIC, Unit Trust, ETF or Investment Trust) you must confirm that you have read the relevant *Key Investor Information Document (KIID)/Key Information Document (KID)*. These are available on our Investment Selector/Research tool or via the fund provider directly.

I confirm that I have read the relevant KIID/KID for the fund(s) in which I wish to invest

### 4. Fund conversion – applicable to holders of retail share class funds only

Alliance Trust Savings will automatically convert retail share classes to new clean share class equivalents where the net Annual Management Charge (AMC) is equal or lower. If the net AMC is higher, we will proceed with the conversion to the clean share class equivalent unless you indicate below that you do not wish this to happen. A small proportion of funds do not have a clean share class equivalent. In this instance you will remain within the retail share class and receive 100% of any rebate payment that might be received from the fund manager.

I do not wish to convert to the clean share class equivalent if the net AMC is higher

### 5. Declaration by Alliance Trust Savings

We declare to you that:

- The declarations made to you at the time of your application for a Stocks & Shares ISA remain true and valid
- If we accept the transfers from the transferring ISA Manager, we will apply the transferred assets to your Stocks & Shares ISA as instructed by you in this *Transfer In request form* to be held under the terms of that Stocks & Shares ISA
- Your Stocks & Shares ISA and your rights under it will be governed by the details on your application as accepted by us, and by our *Terms and Conditions* and documents referred to in it (the 'Governing Document') as amended by us from time to time.

### 6. Declaration to Alliance Trust Savings and signature

- I declare that the declarations made to you in my application for my Stocks & Shares ISA are still true and apply to the transfer described in this Transfer In request
- I authorise you to create additional Accounts for me as appropriate for the delivery of Services or receiving payments using the details contained in my application, as updated by me as appropriate
- I have read, understood and consent to the *Order Execution Policy*
- I acknowledge that there may be circumstances in which my requested transfer cannot proceed, in which case I withdraw my request and agree that the assets to be transferred will remain with my current ISA manager
- By completing this transfer in request, I instruct you to hold the transferred assets in my Stocks & Shares ISA Account with you.

**It is a serious offence to make any false statements and to do so can lead to prosecution.**

Signature: 

Date: | D | D | M | M | Y | Y |

### 7. ISA statement

Please tick here to confirm that you have enclosed a recent statement for the ISA you are transferring



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# Stocks & Shares ISA

## Transfer In Request Form for Direct Customers

### Section B – Instructions to the manager of the ISA you are transferring

Section A has been retained by Alliance Trust Savings.

Please complete in block capitals and black ink and return to Alliance Trust Savings Limited, PO Box 164, 8 West Marketgait, Dundee DD1 9YP.

#### 1. Instructions to the ISA manager of the ISA you are transferring to Alliance Trust Savings

<p>To: (ISA manager)</p> <p>Name: _____</p> <p>Address: _____</p> <p style="text-align: right;">Postcode: _____</p> <p>Daytime number: _____</p>	<p>To: (Customer)</p> <p>Name: _____</p> <p>Address: _____</p> <p style="text-align: right;">Postcode: _____</p>
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#### 2. Transfer details

I wish to transfer the following ISA to Alliance Trust Savings Limited (HM Revenue & Customs reference Z1155)

ISA Account Number: \_\_\_\_\_

ISA type: Cash ISA (Go to Section 3)  **OR** Stocks & Shares ISA (Go to Section 4)

Are you transferring cash/assets purchased with subscriptions made in the current tax year? Yes  No

Any subscriptions you have made this tax year must be transferred in full.

#### 3. Transferring a Cash ISA

I wish to transfer my Cash ISA in: Full  **OR** Part

If you are transferring only part of your Cash ISA please enter the amount to be transferred: £ \_\_\_\_\_

#### 4. Transferring a Stocks & Shares ISA

I wish to transfer my Stocks & Shares ISA in: Full (Go to Section 4a)  **OR** Part (Go to Section 4b)

Complete the appropriate section below.

**4(a) Transfer my ISA in full**

Please indicate how you wish to transfer your Stocks & Shares ISA to Alliance Trust Savings.

Cash only  Please sell all investments and transfer in cash

You are not required to complete the rest of this section.

Investments and cash  Please ensure you enclose a recent statement for this ISA





**Alliance Trust Savings**

PO Box 164, 8 West Marketgait, Dundee DD1 9YP

T +44 (0)1382 573737 F +44 (0)1382 321183 E [contact@alliancetrust.co.uk](mailto:contact@alliancetrust.co.uk) [alliancetrustsavings.co.uk](http://alliancetrustsavings.co.uk)

Alliance Trust Savings Limited is a subsidiary of Alliance Trust PLC and is registered in Scotland No. SC 98767, registered office, PO Box 164, 8 West Marketgait, Dundee DD1 9YP; is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority, firm reference number 116115. Alliance Trust Savings gives no financial or investment advice. Calls may be recorded for training and monitoring purposes.